



**USAID**  
FROM THE AMERICAN PEOPLE

DEC 09 2014

John F. Fitzpatrick, Director  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408

Dear Mr. Fitzpatrick:

In recognition of ISOO's desire to account for classification actions in the electronic environment, the Office of Security (SEC) offers the following information: USAID currently maintains 112 ClassNet connections in the USAID Headquarters (Ronald Reagan Building). These terminals are the Department of State's platform for accessing the Secure Internet Protocol Router Network (SIPRnet). The actual number of USAID personnel on the ClassNet system stands at over 191 users as many of the PC terminals are shared in specific offices or bureaus. USAID's ClassNet access is provided through the Department of State which maintains the servers, email, websites and other activities associated with the ClassNet. USAID employs five full-time personnel that manage, support, and maintain ClassNet terminals for USAID among their other duties.

USAID also maintains access to the Joint Worldwide Intelligence Communications System (JWICS) through a platform provided by the Office of the Director of National Intelligence (ODNI). There are currently 66 USAID users on the JWICS system. The servers, email, websites and other activities are managed by ODNI and other parts of the intelligence community, although USAID does provide a modicum of support in establishing new user accounts.

Due to the significant number of USAID users and their related actions on these classified systems, we were able to provide a reasonable accounting of the classification actions as described in the new guidelines. Using the two week sampling as a guide, we were able to account for the actions of a typical high-rate system user over that two-week period.

USAID's remaining Security Classification Management Program Data Report, SF-311 for Fiscal Year 2014 is enclosed pursuant to your request of July 17, 2014.

If you have questions regarding this report, please contact Mr. Anthony Cusano at (202) 712-4672.

Sincerely,

(b)(6)

Mark Webb  
Director of Security

Enclosure: a/s

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

<b>PART A: Identifying Information</b>		
1. Enter the Fiscal Year that this report covers.	1.	2014
2. Identify the <b>Department, Independent agency, or Establishment</b> that is covered by this report.	2. United States Agency for International Development (USAID)	
3. Enter the name, title, address, phone, fax, and e-mail address of the <b>Senior Agency Official</b> (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Mark Webb, Director, Office of Security 1300 Pennsylvania Avenue, N.W., Washington, DC 20523 (202) 712-0990; Fax (202) 216-3802 mwebb@usaid.gov	
4. Enter the name, title, phone, fax, and email address for the <b>point-of-contact</b> responsible for answering questions about this report.	4. Anthony Cusino, Office of Security, Chief, Counterterrorism/Information Security scousino@usaid.gov (202) 712-4672; Fax (202) 216-3802	
<b>PART B: Officials with Original Classification Authority</b>		
5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .	5.	0
6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .	6.	4
7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> .	7.	0
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8.	4
<b>PART C: Original Classification Decisions</b>		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	9.	0
10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	10.	0
11. Total number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 & 10).	11.	0
12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	12.	0
13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	13.	0
14. Total number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 & 13)	14.	0
15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	15.	0
16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	16.	0
17. Total number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 & 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, & 17)	18.	0
<b>PART D: Derivative Classification Decisions</b>		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of <b>derivative TOP SECRET</b> classification decisions made during the reporting period.	19.	0
20. Enter the number of <b>derivative SECRET</b> classification decisions made during the reporting period.	20.	260
21. Enter the number of <b>derivative CONFIDENTIAL</b> classification decisions made during the reporting period.	21.	0
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22.	260

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.  
**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>requests</b> received during the reporting period.	23.	0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.	0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.	0
26. Enter the <b>average number of days</b> to resolve each request.	26.	0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.	0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.	0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.	0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.	0
31. Enter the number of <b>referred requests</b> received during the reporting period.	31.	0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.	0

**PART F: Mandatory Declassification Review Decisions in Pages**

33. Enter the number of <b>requested pages</b> that were declassified <b>in full</b> .	33.	0
34. Enter the number of <b>requested pages</b> that were declassified <b>in part</b> .	34.	0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.	0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36.	0
37. Enter the number of <b>appealed pages</b> that were declassified <b>in full</b> .	37.	0
38. Enter the number of <b>appealed pages</b> that were declassified <b>in part</b> .	38.	0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.	0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40.	0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

41. Enter the number of pages <b>reviewed</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	41.	0
42. Enter the number of pages <b>declassified</b> under <b>automatic declassification</b> .	42.	0
43. Enter the number of pages <b>reviewed</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	43.	12,500
44. Enter the number of pages <b>declassified</b> under <b>systematic declassification</b> .	44.	3,967
45. Enter the number of pages <b>reviewed</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	45.	0
46. Enter the number of pages <b>declassified</b> under <b>discretionary declassification</b> .	46.	0

**PART H: Internal Agency Oversight**

47. Enter the number of <b>self-inspections conducted</b> by your agency, covering any aspect of the security classification program, during the reporting period.	47.	23
48. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	48.	0
49. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	49.	0
50. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	50.	0
51. Enter the number of <b>security classification guides</b> created by your agency and <b>currently in use</b> .	51.	

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

Regarding Part G; In 2013, USAID reported 112,500 pages were reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526 and 88,969 pages were declassified under systematic declassification. USAID attributes this significant decrease in systematic declassification decisions to a reduction in declassification staff.

***For ISOO Use Only***

ISOO Analyst Name: \_\_\_\_\_

Date of QC: \_\_\_\_\_

Analyst Initials: \_\_\_\_\_



**USAID**  
FROM THE AMERICAN PEOPLE

**Attachment to SF-311 Agency Security Classification  
Management Program Data Explanatory Comments**

**Part E/F: Mandatory Declassification Review Requests and Appeals and  
Mandatory Declassification Review Decisions in Pages**

USAID officials rarely originally classify documents as outlined in Executive Order 13526, Section 1.1.

The Declassification Program encounters highly classified documents, but these are usually equities of other agencies in USAID files, e.g., CIA, Defense, DEA, FBI, etc. These are, as required, appropriately referred.

In coordination with ISOO, based upon past patterns and an evaluation of operational necessity to extend the classification of sensitive information; USAID elected not to pursue the authority by the ISCAP to extend classification beyond the initial 25 years. However, to ensure that USAID's declassification program stays fully engaged, USAID's declassification team will continue to support our review process at the WNRC and serve as an active participant in the bi-monthly External Referral Working Group meetings.

**Part G: Automatic, Systematic, and Discretionary Declassification Reviews**

The U.S. Agency for International Development (USAID) Declassification Program resides within the Information and Records Division, Office of Management Services.

During the period October 1, 2013 through September 30, 2014, the Declassification Program at WNRC reviewed 12,500 pages of material subject to systematic declassification, of which 3,967 underwent systematic declassification. There were no reviews for automatic or discretionary declassifications; nor were there any referrals to other agencies.

**Part H: Internal Agency Oversight**

USAID Information Security Branch conducted 23 inspections for CY 14, with emphasis on those bureaus/independent offices with poor performance records relative to security incidents. The self-inspection process includes a random review of original and derivative classification actions. This review focuses on determining whether documents were improperly classified, over classified or missing requirements indicative of a properly marked classified document. In 2014, there were no original classification decisions reported to review and none

were found throughout the bureau inspections. A review of derivative documents revealed that many of the classified documents, many of which received from other agencies, were not marked in accordance with established directives, policy, and guidelines. Due to insufficient markings (i.e., portion markings), USAID consumers performing derivative classification decisions are forced to exercise their best judgment in determining what content is in fact classified and at what level. This poses a challenge as we continue to work with those who share classified national security information with us to ensure information shared is properly marked.

To assist USAID employees with performing derivative classification decisions, USAID drafted a Security Classification Guide (SCG). USAID presented the draft SCG to ISOO for an advisory review. USAID partnered with DoS to resolve comments made by ISOO and plans to publish the SCG NLT January 2015.

#### Part I: Explanatory Comments

In recognition of ISOO's desire to account for classification actions in the electronic environment, the Office of Security (SEC) offers the following information: USAID currently maintains 112 ClassNet (thin client terminals). These terminals are the Department of State's platform for accessing the Secure Internet Protocol Router Network (SIPRnet). The actual number of USAID personnel on the ClassNet system stands at over 191 active users as many of the PC terminals are shared in specific offices or bureaus. Bureaus and Independent Offices (B/IOs) have expressed an increased need for classified network access and requested 101 additional thin client workstations.

USAID's ClassNet access is provided through the Department of State which maintains the servers, email, websites and other activities associated with the ClassNet. USAID employs five full-time personnel that partner with DoS to manage, support, and maintain ClassNet systems.

USAID also maintains access to the Joint Worldwide Intelligence Communications System (JWICS) through a platform provided by the Office of the Director of National Intelligence (ODNI). There are currently 66 USAID users on the JWICS system. The servers, email, websites and other activities are managed by ODNI and other parts of the intelligence community, although USAID does provide a modicum of support in establishing new user accounts.

Due to the significant number of USAID users and their related actions on these classified systems, we were able to provide a reasonable accounting of the classification actions

as described in the new guidelines. Using the two week sampling as a guide, we were able to account for the actions of a typical high-rate system user over a two-week period.

USAID's remaining Security Classification Management Program Data Report, SF-311 for Fiscal Year 2014 is enclosed pursuant to your request of July 17, 2014.



**USAID**  
FROM THE AMERICAN PEOPLE

OCT 15 2015

John P. Fitzpatrick, Director  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408

Dear Mr. Fitzpatrick:

The USAID Standard Form (SF) 311, Agency Security Classification Management Program Data Report is enclosed pursuant to your memorandum dated August 19, 2015.

If you have questions or need additional information, please contact Diane Sloan at (202) 712-0894.

Sincerely,

(b)(6)

Mark Webb  
Director of Security

Enclosure: a/s

# AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

<b>PART A: Identifying Information</b>		
1. Enter the <b>Fiscal Year</b> that this report covers.	1. 2015	
2. Identify the <b>Department, Independent agency, or Establishment</b> that is covered by this report.	2. United States Agency for International Development (USAID)	
3. Enter the name and title of the <b>Senior Agency Official</b> (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. Mark Webb, Director of Security, 202-712-0990	
4. Enter the name, title, phone, and email address for the <b>point-of-contact</b> responsible for answering questions about this report.	4. Diane Sloan, Branch Chief, 202-712-0894	
<b>PART B: Officials with Original Classification Authority</b>		
5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .	5. 0	
6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .	6. 3	
7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> .	7. 0	
8. Total number of officials with original classification authority. (Sum of blocks 5, 6, & 7)	8. 3	
<b>PART C: Original Classification Decisions</b>		
Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	9. 0	
10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	10. 0	
11. <b>Total</b> number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 & 10).	11. 0	
12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	12. 0	
13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	13. 0	
14. <b>Total</b> number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 & 13)	14. 0	
15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	15. 0	
16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	16. 1	
17. <b>Total</b> number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 & 16)	17. 1	
18. <b>Total</b> number of original classification decisions. (Sum of blocks 11, 14, & 17)	18. 1	
<b>PART D: Derivative Classification Decisions</b>		
Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)		
19. Enter the number of <b>derivative TOP SECRET</b> classification decisions made during the reporting period.	19. 0	
20. Enter the number of <b>derivative SECRET</b> classification decisions made during the reporting period.	20. 289	
21. Enter the number of <b>derivative CONFIDENTIAL</b> classification decisions made during the reporting period.	21. 0	
22. <b>Total</b> number of derivative classification decisions. (Sum of blocks 19, 20, & 21)	22. 289	

**PART E: Mandatory Declassification Review Requests and Appeals**

A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request.  
**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>requests</b> received during the reporting period.	23.0
24. Enter the number of <b>requests</b> closed during the reporting period.	24.0
25. Enter the number of <b>requests</b> that have been unresolved for over one year.	25.0
26. Enter the <b>average number of days</b> to resolve each request.	26.0
27. Enter the number of <b>appeals</b> received during the reporting period.	27.0
28. Enter the number of <b>appeals</b> closed during the reporting period.	28.0
29. Enter the number of <b>appeals</b> that have been unresolved for over one year.	29.0
30. Enter the <b>average number of days</b> to resolve each appeal.	30.0

  

31. Enter the number of <b>referred requests</b> received during the reporting period.	31.0
32. Enter the number of <b>referred appeals</b> received during the reporting period.	32.0

**PART F: Mandatory Declassification Review Decisions in Pages**

33. Enter the number of <b>requested pages</b> that were declassified <b>in full</b> .	33.0
34. Enter the number of <b>requested pages</b> that were declassified <b>in part</b> .	34.0
35. Enter the number of <b>requested pages</b> that were <b>denied</b> declassification.	35.0
36. Total number of <b>requested pages</b> acted on. (Sum of blocks 33, 34, & 35)	36. 0
37. Enter the number of <b>appealed pages</b> that were declassified <b>in full</b> .	37.0
38. Enter the number of <b>appealed pages</b> that were declassified <b>in part</b> .	38.0
39. Enter the number of <b>appealed pages</b> that were <b>denied</b> declassification.	39.0
40. Total number of <b>appealed pages</b> acted on. (Sum of blocks 37, 38, & 39)	40. 0

**PART G: Automatic, Systematic, and Discretionary Declassification Reviews**

41. Enter the number of pages <b>reviewed</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	41.0
42. Enter the number of pages <b>declassified</b> under <b>automatic declassification</b> .	42.0
43. Enter the number of pages <b>reviewed</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	43. 152,500
44. Enter the number of pages <b>declassified</b> under <b>systematic declassification</b> .	44. 42,500
45. Enter the number of pages <b>reviewed</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	45.0
46. Enter the number of pages <b>declassified</b> under <b>discretionary declassification</b> .	46.0

**PART H: Internal Agency Oversight**

47. Enter the number of <b>challenges</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	47.0
48. Enter the number of <b>challenges</b> where the classification status was <b>fully affirmed</b> .	48.0
49. Enter the number of <b>challenges</b> where the classification status was <b>overturned in whole or in part</b> .	49.0

**PART I: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

**Part B: Officials with Original Classification Authority**

As the Agency Head, the Administrator (A/AID) has the authority to originally classify information at the Confidential and Secret level. Authority to originally classify at the Confidential and Secret level has been delegated by the Administrator of USAID to the Deputy Administrator, Inspector General, and the Director of Security. Therefore, USAID holds four positions that have the authority to originally classify information. Currently, one of those positions is vacant and as a result, Part B reflects that there are three officials with Original Classification Authority. As soon as that position is filled, the new official will be immediately trained on their Original Classification Authority.

**Part C: Original Classification Decisions**

USAID officials rarely originally classify documents as outlined in Executive Order 13526. However, one original classification decision was performed this year. This original classification decision was the USAID Classification Guide, which is classified at the Confidential level.

**Part G: Automatic, Systematic, and Discretionary Declassification Reviews**

A team of six retired foreign service officers reviewed all USAID files that were twenty-five years or older from 1998 to 2013. Therefore, lines 41-42 and 45-46 are zero.

During the period October 1, 2014 through September 30, 2015, the one remaining foreign service officer, expert declassifier, reviewed 152,500 pages that were subject to systematic declassification under section 3.4 of Executive Order 13526. Of this total, 42,500 pages were declassified under systematic declassification. 1,700 pages were referred to other agencies with those agencies being Department of State, CIA and Department of Defense.

***For ISOO Use Only***

ISOO Analyst Name: \_\_\_\_\_

Date of QC: \_\_\_\_\_

Analyst Initials: \_\_\_\_\_



**USAID**  
FROM THE AMERICAN PEOPLE

**Attachment to SF-311 Agency Security Classification  
Management Program Data Report FY 2015**

**Part I: Explanatory Comments Continued**

**Part D: Derivative Classification Decisions**

In recognition of ISOO's desire to account for classification actions in the electronic environment, the Office of Security (SEC) offers the following information: USAID currently maintains 153 ClassNet/ThinClient connections. These terminals are the Department of State's platform for accessing the Secure Internet Protocol Router Network (SIPRnet). The number of USAID ClassNet/ThinClient users is 283. Many of the PC terminals are shared in specific offices or bureaus.

USAID's ClassNet/ThinClient access is provided through the Department of State (DoS) which maintains the servers, email, websites and other activities associated with the ClassNet/ThinClient. USAID employs five full-time personnel that partner with DoS to manage, support, and maintain ClassNet/ThinClient systems.

USAID also maintains access to the Joint Worldwide Intelligence Communications System (JWICS) through a platform provided by the Office of the Director of National Intelligence (ODNI). There are currently 66 USAID users on the JWICS system. The servers, email, websites and other activities are managed by ODNI and other parts of the intelligence community, although USAID does provide a modicum of support in establishing new user accounts.

Due to the significant number of USAID users and their related actions on these classified systems, we were able to provide a reasonable accounting of the classification actions as described in the SF-311 guidelines. Using the two week sampling as a guide, we were able to account for the actions of users over a two-week sampling period.



**USAID**  
FROM THE AMERICAN PEOPLE

NOV 10 2016

William A. Cira, Acting Director  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408

Dear Mr. Cira:

The USAID Standard Form (SF) 311, Agency Security Classification Management Program Data Report is enclosed pursuant to your memorandum dated July 15, 2016.

If you have questions or need additional information, please contact Diane Sloan at (202) 712-0894.

Sincerely,

(b)(6)

(b)(6)

John Voorhees  
Acting Director of Security

(b)(6)

## AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

<b>PART A: Identifying Information</b>	
1. Enter the <b>Fiscal Year</b> that this report covers.	1. 2016
2. Identify the <b>Department, Independent agency, or Establishment</b> that is covered by this report.	2. OTHER: Type Department, Independent agency, or Establishment
3. Enter the name and title of the <b>Senior Agency Official</b> (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. John Voorhees, Acting Director of Security, USAID
4. <b>Point-of-contact</b> responsible for answering questions about this report:	
4a. Name:	4a. Diane Sloan
4b. Title:	4b. Branch Chief, Information and Industrial Security
4c. Email address:	4c. dsloan@usaid.gov
4d. Phone number:	4d. (202) 712-0894
<b>PART B: Officials with Original Classification Authority</b>	
5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .	5. 0
6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .	6. 4
7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> .	7. 0
<b>8. Total</b> number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	<b>8. 4</b>
<b>PART C: Original Classification Decisions</b>	
<p>Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)</p>	
9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	9. 0
10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	10. 0
<b>11. Total</b> number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 and 10)	<b>11. 0</b>
12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	12. 1
13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	13. 0
<b>14. Total</b> number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 and 13)	<b>14. 1</b>
15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	15. 0
16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	16. 0
<b>17. Total</b> number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 and 16)	<b>17. 0</b>
<b>18. Total</b> number of original classification decisions. (Sum of blocks 11, 14, and 17)	<b>18. 1</b>

**PART D: Derivative Classification Decisions**

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)

19. Enter the number of <b>derivative TOP SECRET</b> classification decisions made during the reporting period.	19. 173
20. Enter the number of <b>derivative SECRET</b> classification decisions made during the reporting period.	20. 4,498
21. Enter the number of <b>derivative CONFIDENTIAL</b> classification decisions made during the reporting period.	21. 2,600
22. <b>Total</b> number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22. 7,271

**PART E: Mandatory Declassification Review Requests**

A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>REQUESTS received</b> during the reporting period.	23. 7
24. Enter the number of <b>REQUESTS closed</b> during the reporting period.	24. 7
25. <b>Of the REQUESTS entered into block 24, enter the number of pages that were:</b>	25.
a. Declassified <b>in full</b> .	25a. 77
b. Declassified <b>in part</b> .	25b. 0
c. <b>Denied</b> declassification.	25c. 0
d. <b>Total</b> number of requested pages acted on. (Sum of blocks a, b, and c)	25d. 77
26. Enter the number of <b>REQUESTS</b> that have been unresolved for over one year.	26. 0
27. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each request.	27. 1
28. Enter the number of <b>REFERRED REQUESTS</b> received during the reporting period. (Number of requests referred to your agency from another agency)	28. 7

**PART F: Mandatory Declassification Review Appeals**

An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only appeals for your agency in which your agency is responsible for the final decision.**

29. Enter the number of <b>APPEALS received</b> during the reporting period.	29. 0
30. Enter the number of <b>APPEALS closed</b> during the reporting period.	30. 0
31. <b>Of the APPEALS entered into block 30, enter the number of pages that were:</b>	31.
a. Declassified <b>in full</b> .	31a. 0
b. Declassified <b>in part</b> .	31b. 0
c. <b>Denied</b> declassification.	31c. 0
d. <b>Total</b> number of appealed pages acted on. (Sum of blocks a, b, and c)	31d. 0
32. Enter the number of <b>APPEALS</b> that have been unresolved for over one year.	32. 0
33. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each appeal.	33. 0
34. Enter the number of <b>REFERRED APPEALS</b> received during the reporting period. (Number of appeals referred to your agency from another agency)	34. 0

OTHER: Type Department, Independent agency, or Establishment

<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
35. Enter the number of pages <b>REVIEWED</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages <b>DECLASSIFIED</b> under <b>automatic declassification</b> .	36.	0
37. Enter the number of pages <b>REVIEWED</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	37.	42,500
38. Enter the number of pages <b>DECLASSIFIED</b> under <b>systematic declassification</b> .	38.	5,113
39. Enter the number of pages <b>REVIEWED</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages <b>DECLASSIFIED</b> under <b>discretionary declassification</b> .	40.	0

**PART H: Internal Agency Oversight**

41. Enter the number of <b>CHALLENGES</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	41.	0
42. Enter the number of <b>CHALLENGES</b> where the classification status was <b>fully affirmed</b> .	42.	0
43. Enter the number of <b>CHALLENGES</b> where the classification status was <b>overturned in whole or in part</b> .	43.	0

**PART I: Intelligence Community (IC) Information**

This section applies only to IC agencies and IC components of other agencies who *originally apply* the ORCON and ORCON-USGOV dissemination control. This information, along with ISOO's annual inspection reports will be used to inform the annual report to the DNI on the use of classification markings.

<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON.</b>		
44. Enter <b>PERCENTAGE</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	44.	0.00%
45. Enter <b>TOTAL NUMBER</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	45.	
46. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of ORCON <b>in full</b> .	46.	
47. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of ORCON <b>in part</b> . Provide explanation for partial denial in part J below.	47.	
48. Enter the number of ORCON expanded dissemination requests <b>DENIED</b> . Provide explanation for denial in part J below.	48.	
<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON-USGOV.</b>		
49. Enter <b>PERCENTAGE</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	49.	0.00%
50. Enter <b>TOTAL NUMBER</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	50.	
51. Provide <b>TOTAL NUMBER</b> of reports of <b>potential misapplication</b> of the ORCON marking. Provide background information on each occurrence in Part J below.	51.	
52. Has your organization been <b>NEGATIVELY IMPACTED</b> by information being marked with ORCON or ORCON-USGOV control marking? If yes, provide explanation in Part J below.	52.	N/A

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

USAID's declassification program experienced several challenges over the past few years, including the resignation and passing of seasoned Declassification Review Officers (DROs). More recently, the sole DRO passed away while the declassification program managers were in the process of onboarding a new DRO which resulted in the new employee being unable to benefit from or receive cross-training. Therefore, given the aforementioned circumstances, the numbers reflected in this year's SF-311 report are verified and validated to the best of their ability through interviews and research. It is important to note that these statistics may not represent full declassification activities for FY 2016. The declassification program managers recognize the vulnerabilities and resulting inefficiencies in its program and are currently taking valiant steps to remedy and mitigate future irregularities. A full gap analysis and program review is taking place along with a focus on augmenting the DRO staff, strengthening related policies and procedures, and developing a suitable training program. USAID's declassification program is working closely with members of the federal government's External Referral Working Group, the Information Security Oversight Office, and the National Declassification Center's Training team to obtain assistance with these improvements.



**USAID**  
FROM THE AMERICAN PEOPLE

NOV 06 2017

Mr. Mark A. Bradley, Director  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Avenue, NW  
Washington, DC 20408-0001

Dear Mr. Bradley:

The USAID Standard Form (SF) 311, Agency Security Classification Management Program Data Report is enclosed pursuant to your memorandum dated August 15, 2017.

If you have questions or need additional information, please contact Diane Sloan at (202) 712-0894.

Sincerely,

(b)(6)

David Blackshaw  
Acting Director of Security

## AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

<b>PART A: Identifying Information</b>	
1. Enter the <b>Fiscal Year</b> that this report covers.	1. 2017
2. Identify the <b>Department, Independent agency, or Establishment</b> that is covered by this report.	2. USAID: United States Agency for International Development
3. Enter the name and title of the <b>Senior Agency Official</b> (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3. John Voorhees, Director of Security, USAID
4. <b>Point-of-contact</b> responsible for answering questions about this report:	
4a. Name:	4a. Heather Harris Pagán
4b. Title:	4b. Security Specialist
4c. Email address:	4c. hharrispgan@usaid.gov
4d. Phone number:	4d. (202) 712-0654
<b>PART B: Officials with Original Classification Authority</b>	
5. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>TOP SECRET</b> .	5. 0
6. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>SECRET</b> .	6. 4
7. Enter the number of agency officials whose <b>highest level</b> of original classification authority is <b>CONFIDENTIAL</b> .	7. 0
<b>8. Total</b> number of officials with original classification authority. (Sum of blocks 5, 6, and 7)	<b>8. 4</b>
<b>PART C: Original Classification Decisions</b>	
<p>Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories from section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all original classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)</p>	
9. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	9. 0
10. Enter the number of <b>original TOP SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	10. 0
<b>11. Total</b> number of <b>TOP SECRET</b> original classification decisions. (Sum of blocks 9 and 10)	<b>11. 0</b>
12. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	12. 0
13. Enter the number of <b>original SECRET</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	13. 0
<b>14. Total</b> number of <b>SECRET</b> original classification decisions. (Sum of blocks 12 and 13)	<b>14. 0</b>
15. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions of 10 years or less</b> .	15. 0
16. Enter the number of <b>original CONFIDENTIAL</b> classification decisions made during the reporting period <b>with declassification instructions ranging from over 10 years to 25 years</b> .	16. 1
<b>17. Total</b> number of <b>CONFIDENTIAL</b> original classification decisions. (Sum of blocks 15 and 16)	<b>17. 1</b>
<b>18. Total</b> number of original classification decisions. (Sum of blocks 11, 14, and 17)	<b>18. 1</b>

**PART D: Derivative Classification Decisions**

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via email. Do not count reproductions or copies.)

19. Enter the number of <b>derivative TOP SECRET</b> classification decisions made during the reporting period.	19.	429
20. Enter the number of <b>derivative SECRET</b> classification decisions made during the reporting period.	20.	4,472
21. Enter the number of <b>derivative CONFIDENTIAL</b> classification decisions made during the reporting period.	21.	949
22. <b>Total</b> number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	5,850

**PART E: Mandatory Declassification Review Requests**

A "Request" is an individual initial review request, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only requests for your agency in which your agency is responsible for the final decision.**

23. Enter the number of <b>REQUESTS received</b> during the reporting period.	23.	1
24. Enter the number of <b>REQUESTS closed</b> during the reporting period.	24.	1
25. <b>Of the REQUESTS entered into block 24, enter the number of pages that were:</b>	25.	
a. Declassified <b>in full</b> .	25a.	9
b. Declassified <b>in part</b> .	25b.	
c. <b>Denied</b> declassification.	25c.	0
d. <b>Total</b> number of requested pages acted on. (Sum of blocks a, b, and c)	25d.	9
26. Enter the number of <b>REQUESTS</b> that have been unresolved for over one year.	26.	0
27. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each request.	27.	30
28. Enter the number of <b>REFERRED REQUESTS</b> received during the reporting period. (Number of requests referred to your agency from another agency)	28.	0

**PART F: Mandatory Declassification Review Appeals**

An "Appeal" is an individual request for appeal, regardless of the number of documents or pages to be reviewed as part of the request.

**Report only appeals for your agency in which your agency is responsible for the final decision.**

29. Enter the number of <b>APPEALS received</b> during the reporting period.	29.	0
30. Enter the number of <b>APPEALS closed</b> during the reporting period.	30.	0
31. <b>Of the APPEALS entered into block 30, enter the number of pages that were:</b>	31.	
a. Declassified <b>in full</b> .	31a.	0
b. Declassified <b>in part</b> .	31b.	0
c. <b>Denied</b> declassification.	31c.	0
d. <b>Total</b> number of appealed pages acted on. (Sum of blocks a, b, and c)	31d.	0
32. Enter the number of <b>APPEALS</b> that have been unresolved for over one year.	32.	0
33. Enter the <b>AVERAGE NUMBER OF DAYS</b> to resolve each appeal.	33.	0
34. Enter the number of <b>REFERRED APPEALS</b> received during the reporting period. (Number of appeals referred to your agency from another agency)	34.	0

<b>PART G: Automatic, Systematic, and Discretionary Declassification Reviews</b>		
35. Enter the number of pages <b>REVIEWED</b> that were subject to <b>automatic declassification</b> under section 3.3 of E.O. 13526.	35.	0
36. Enter the number of pages <b>DECLASSIFIED</b> under <b>automatic declassification</b> .	36.	0
37. Enter the number of pages <b>REVIEWED</b> that were subject to <b>systematic declassification</b> under section 3.4 of E.O. 13526.	37.	0
38. Enter the number of pages <b>DECLASSIFIED</b> under <b>systematic declassification</b> .	38.	0
39. Enter the number of pages <b>REVIEWED</b> that were subject to <b>discretionary declassification</b> under section 3.1 of E.O. 13526.	39.	0
40. Enter the number of pages <b>DECLASSIFIED</b> under <b>discretionary declassification</b> .	40.	0
<b>PART H: Internal Agency Oversight</b>		
41. Enter the number of <b>CHALLENGES</b> processed by your agency to the classification of information believed to be <b>improperly classified or unclassified</b> . (E.O. 13526, section 1.8)	41.	0
42. Enter the number of <b>CHALLENGES</b> where the classification status was <b>fully affirmed</b> .	42.	0
43. Enter the number of <b>CHALLENGES</b> where the classification status was <b>overturned in whole or in part</b> .	43.	0
<b>PART I: Intelligence Community (IC) Information</b>		
<p>This section applies only to IC agencies and IC components of other agencies who <i>originally apply</i> the ORCON and ORCON-USGOV dissemination control. This information, along with ISOQ's annual inspection reports will be used to inform the annual report to the DNI on the use of classification markings.</p>		
<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON.</b>		
44. Enter <b>PERCENTAGE</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	44.	
45. Enter <b>TOTAL NUMBER</b> of your organization's classified disseminated analytic products originally marked <b>ORCON</b> .	45.	
46. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of <b>ORCON in full</b> .	46.	
47. Enter the <b>NUMBER OF REQUESTS</b> approved for expanded dissemination of <b>ORCON in part</b> . Provide explanation for partial denial in part J below.	47.	
48. Enter the number of ORCON expanded dissemination requests <b>DENIED</b> . Provide explanation for denial in part J below.	48.	
<b>Organization's classified disseminated analytic product (as defined in ICD 206 Sourcing Requirements for Disseminated Analytic Product) originally marked ORCON-USGOV.</b>		
49. Enter <b>PERCENTAGE</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	49.	
50. Enter <b>TOTAL NUMBER</b> of your organization's analytic products originally marked <b>ORCON-USGOV</b> .	50.	
51. Provide <b>TOTAL NUMBER</b> of reports of <b>potential misapplication</b> of the ORCON marking. Provide background information on each occurrence in Part J below.	51.	
52. Has your organization been <b>NEGATIVELY IMPACTED</b> by information being marked with ORCON or ORCON-USGOV control marking? If yes, provide explanation in Part J below.	52.	N/A

**PART J: Explanatory Comments**

*Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report.*

USAID's Declassification Program is managed by the Management Bureau, Management Services, Information and Records Division (M/MS/IRD). Procedures for automatic, systematic, and mandatory declassification reviews are performed by a declassification specialist in accordance with Executive Order 13526. At this time, one employee is tasked with performing declassification actions for the agency. USAID has taken steps to reinstate another declassification specialist that was not renewed in last year after the hiring freeze. In accordance with EO 13526, USAID completed three major initiatives to strengthen the Declassification Program during FY 2017: training, declassification alliances, and program restructure

During FY 2017, M/MS/IRD hired a new declassification specialist. In August 2017, five members of M/MS/IRD attended the National Declassification Center (NDC) week long declassification training. In addition to the training from NARA and training from other agencies, USAID is developing its own agency specific declassification training manual.

In an effort to identify best practices and build a declassification network, M/MS/IRD held several meetings with declassification programs at different agencies. Additionally, the team has met with members of NARA's ISOO team. The declassification team has attended two of the External Referral Working Group (ERWG) meetings in FY 2017. Lastly, the declassification team has developed a working relationship with the USAID Freedom of Information Act (FOIA) team to facilitate time sensitive responses to Mandatory Declassification Reviews (MDR).

One of the most important changes to the USAID declassification program has been its restructuring. The policy for declassification has undergone a major overhaul and is in the process of being reviewed. The declassification recommendations have been standardized. The markings are consistent with the markings in the ISOO guide. The declassification team has also expanded to include a supervisor and Records Information Management Specialist.

**Declassification in FY 2017**

M/MS/IRD declassified one document as a result of a FOIA request this year.

**Declassification in FY 2018**

M/MS/IRD will complete the overhaul, update the declassification policy, finalize the declassification training manual, and will maintain two declassification specialists.